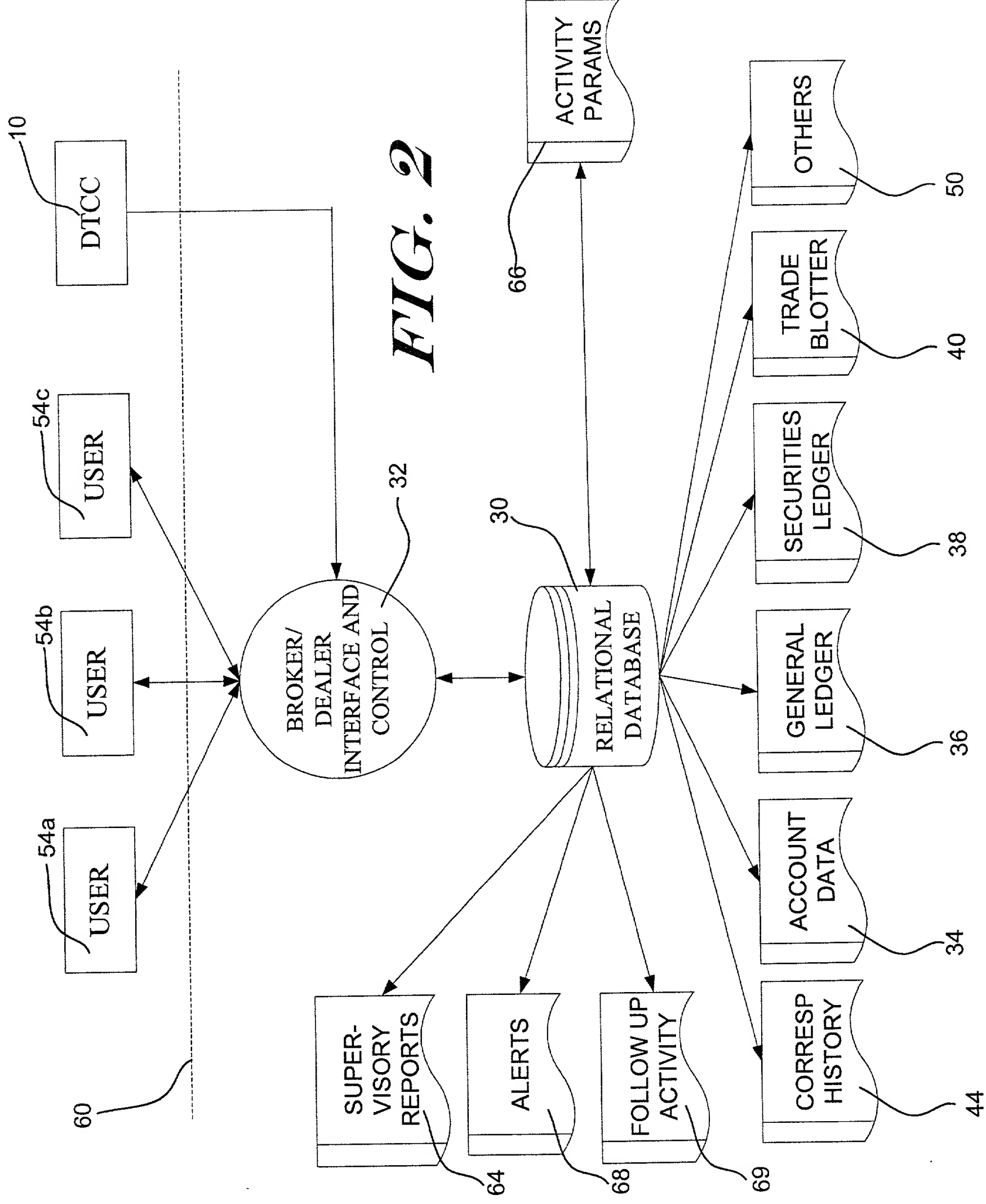


FIG. 1



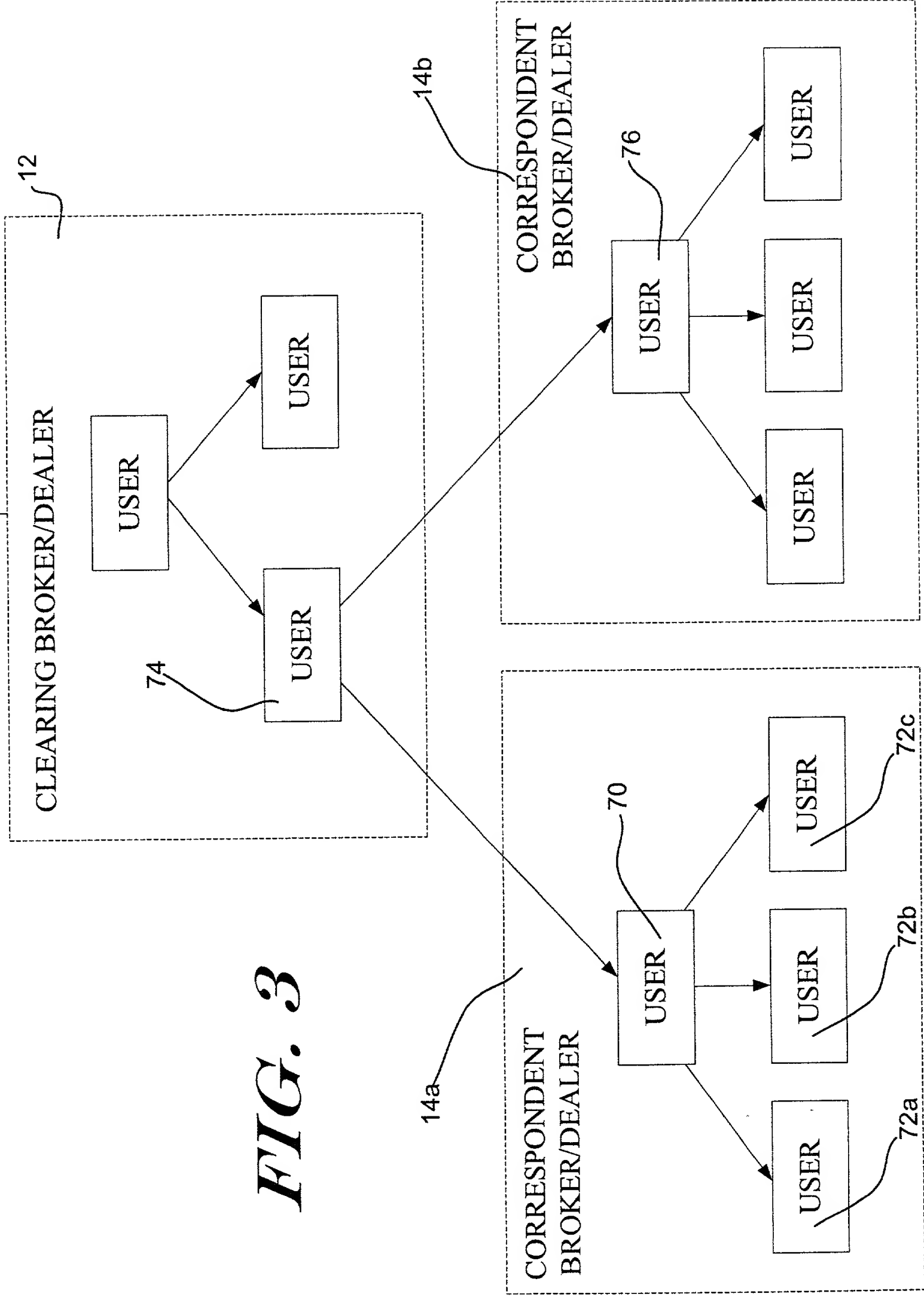


FIG. 4

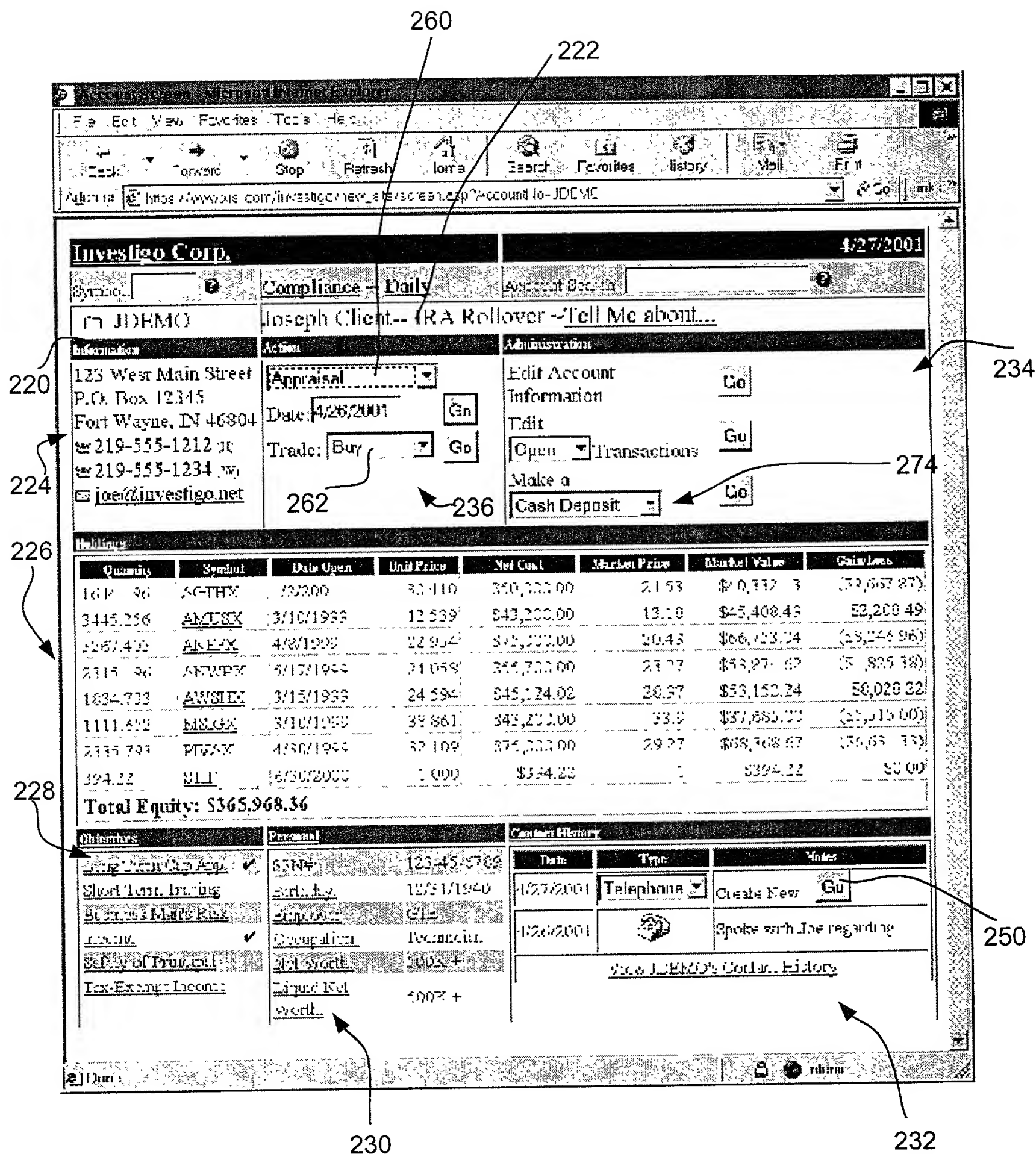


FIG. 4

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discuss

Address https://www.xisi.com/investigo/new_site/screen.asp?AccountNo=JDEMO

Investigo Corp.

Symbol Compliance -- Daily Account Search

Joseph Client-- IRA Rollover ~Tell Me about...

Information

123 West Main Street
P.O. Box 12345
Fort Wayne, IN 46804
219-555-1212 (H)
219-555-1234 (W)
joe@investigo.net

Action

Appraisal Go
Date: 4/26/2001 Go
Trade: Buy Go
Buy Cover Sell
Sell Short
Sell Covrd

Administration

Edit Account Information Go
Edit Open Transactions Go
Make a Stock Deposit Go

Holdings

Quantity	Symbol	Date Open	Market Price	Net Cost	Market Value	Gain/Loss
1644 196	AGTHX	1/2/2001	30.410	\$50,000.00	24.53	\$40,332.13 (\$9,667.87)
3445 256	AMUSX	3/10/1999	12.539	\$43,200.00	13.18	\$45,408.49 \$2,208.49
3267 403	ANEFX	4/8/1999	22.954	\$75,000.00	20.43	\$66,753.04 (\$8,246.96)
2315 196	ANWPX	5/17/1999	24.058	\$55,700.00	23.27	\$53,874.62 (\$1,825.38)
1834 733	AWSHX	3/15/1999	24.594	\$45,124.02	28.97	\$53,152.24 \$8,028.22
1111 652	MSIGX	3/10/1999	38.861	\$43,200.00	33.9	\$37,685.00 (\$5,515.00)
2335 793	PIVAX	4/30/1999	32.109	\$75,000.00	29.27	\$68,368.67 (\$6,631.33)
394 22	STIF	6/30/2000	1.000	\$394.22	1	\$394.22 \$0.00

Total Equity: \$365,968.36

Objectives

Long Term Cap App ☒
Short Term Trading
Business Man's Risk

Personal

SSN# 123-45-6789
Birthday 12/31/1940
Employer GTE

Contact History

Date 4/27/2001 Type Telephone Create New Go

Done Internet

FIG. 5

Investigo Corp.		4/27/2001	
Symbol: <input type="text"/>	Compliance -- Daily Account Number or Name: <input type="text"/>		
Trade Entry			
JDEMO Joseph Client-- IRA Rollover			
Trade Date	4/27/2001	Trade Type	Buy
Amount	1000	Symbol or CUSIP	ibm
Price	33.00	Solicitation Status	Solicited
Commission	600	Location of Shares	Long
Fees and/or charges	65.00	Reinvest	None or N/A
Sales charge	0	- For Mutual Funds	
Cost or Proceeds Override	- Overrides automatic calculation		
Order Entered By	3br	Recommended to client	
Notes	<div>Confirm This Trade</div>		

270

FIG. 6

268

Investigo Corp.		4/27/2001	
Symbol: <input type="text"/>	Compliance: <input type="text"/>	Account Number or Name: <input type="text"/>	Lookup
Trade Entry			
JDemo		Joseph Client -- IRA Rollover	
Trade Date	4/27/2001	Trade Type	Buy
Amount	1000	Symbol or CUSIP	INTERNATIONAL BUSINESS MACHINES COR (IBM)
Price	33	Solicitation Status	Solicited
Commission	\$600.00	Location of Shares	Long
Fees and/or charges	\$65.00	Reinvest	None
Sales charge	0		
Total Fees	\$665.00		
Total Cost	\$33,665.00		
Order Entered By	3br		
Notes	Recommended to client		
Execute this Buy Order			
Done			

10/22/2000 10:44:56

FileEditViewFavoritesToolsHelp

Back

Forward

Stop

Refresh

Home

Search

Favorites

History

Mail

Print

Address: https://www.xisi.com/investigo/trade_plotters/trade_plottet_1.asp?Represent=All&Month=10/31&Year=2000

GoLinks

Investigo Corp.

Trade Buy Blotter for All for dates 10/1/2000 to 10/31/2000

Trade Date	Settle Date	Buy / Sell	Account Number	Product	Shares	S/UNS	Buy Price	Buy Cost	Buy Commission
10/1/2000	10/4/2000	Buy	W632293452	C017254-0D	60327.84	Unsolicited	1	0	0
10/2/2000	10/5/2000	Buy	W632669420	ALAX	3603.604	Solicited	15.54	56000	0
10/2/2000	10/5/2000	Buy	W632669420	IGSX	1689.708	Solicited	13.02	22000	0
10/2/2000	10/5/2000	Buy	W632669420	RCVAX	1756.44	Solicited	17.08	30000	0
10/2/2000	10/5/2000	Buy	W632667689	LEIFX	0.194	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632666626	RCVAX	51.317	Solicited	16.58	0	0
10/2/2000	10/5/2000	Buy	W632668555	RCVBX	11.881	Solicited	16.61	0	0
10/2/2000	10/5/2000	Buy	W632588893	RCVGX	7.324	Solicited	16.57	0	0
10/2/2000	10/5/2000	Buy	W632541066	BETM	300	Solicited	0.4375	187.6	50
10/2/2000	10/5/2000	Buy	W632498077	LEIBX	0.135	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632467411	QQQ	70	Solicited	88.5	6333.44	132.09
10/2/2000	10/5/2000	Buy	W632448502	RCVGX	16.242	Solicited	16.57	0	0
10/2/2000	10/5/2000	Buy	W636047672	RCVGX	47.063	Solicited	16.57	0	0
10/2/2000	10/5/2000	Buy	W632367389	RCVBX	21.917	Solicited	16.61	0	0
10/2/2000	10/5/2000	Buy	W632669420	OPPA	485.784	Solicited	69.99	34000	0
10/2/2000	10/5/2000	Buy	W632356945	LEIFX	1.342	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632322475	RCVAX	40.796	Solicited	16.58	0	0
10/2/2000	10/5/2000	Buy	W632312686	AHIX	3.706	Solicited	12.97	0	0
10/2/2000	10/5/2000	Buy	W632306858	NABGX	13.93	Solicited	15.04	0	0
10/2/2000	10/5/2000	Buy	W632297412	LEIBX	0.292	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632297347	LEIBX	0.576	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632297107	KO	0.62	Solicited	54.937	34.22	0
10/2/2000	10/5/2000	Buy	W632295523	FDBBX	17.202	Solicited	8.79	0	0

DoneInternet

FIG. 8

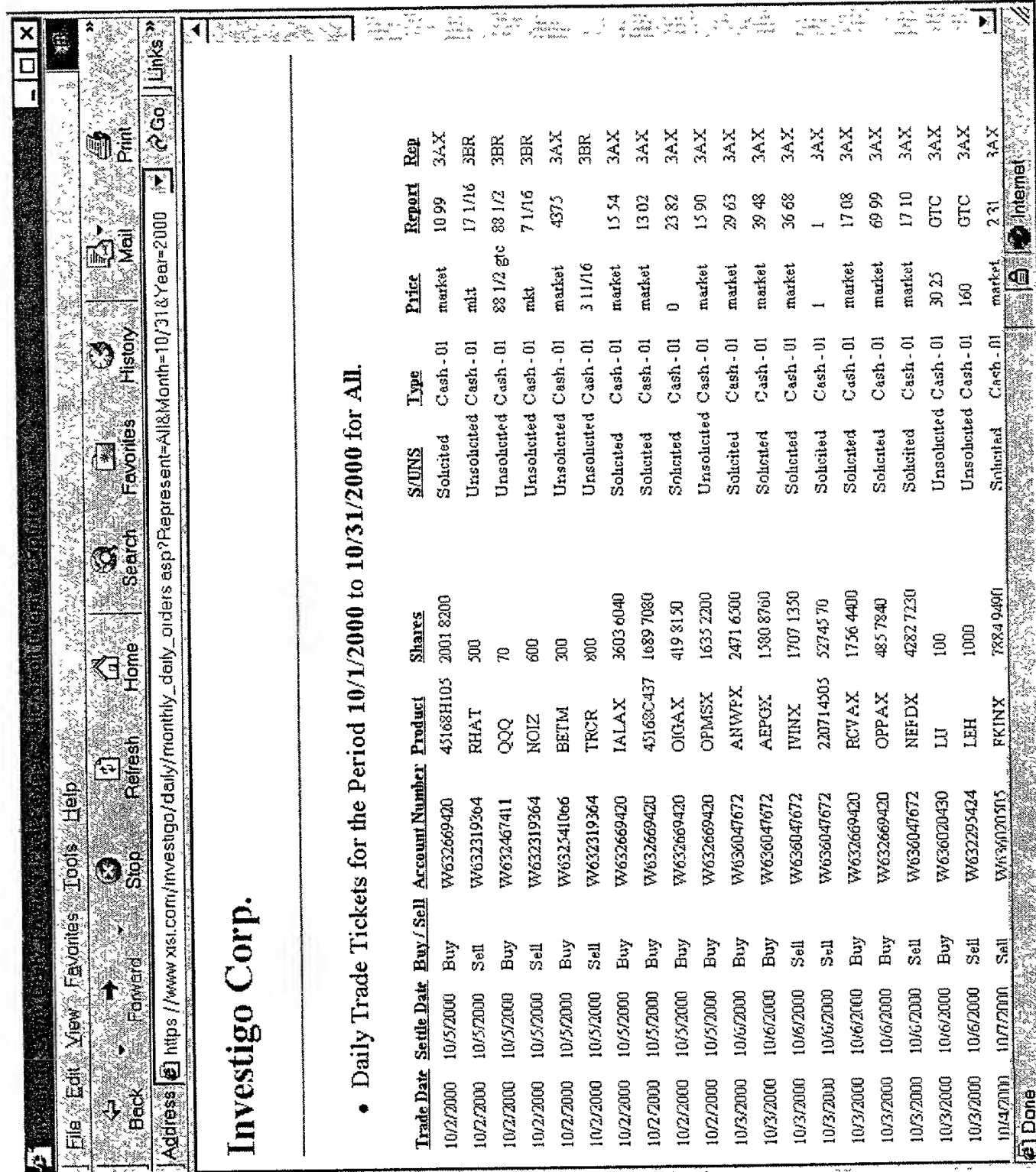


FIG. 9

300

304

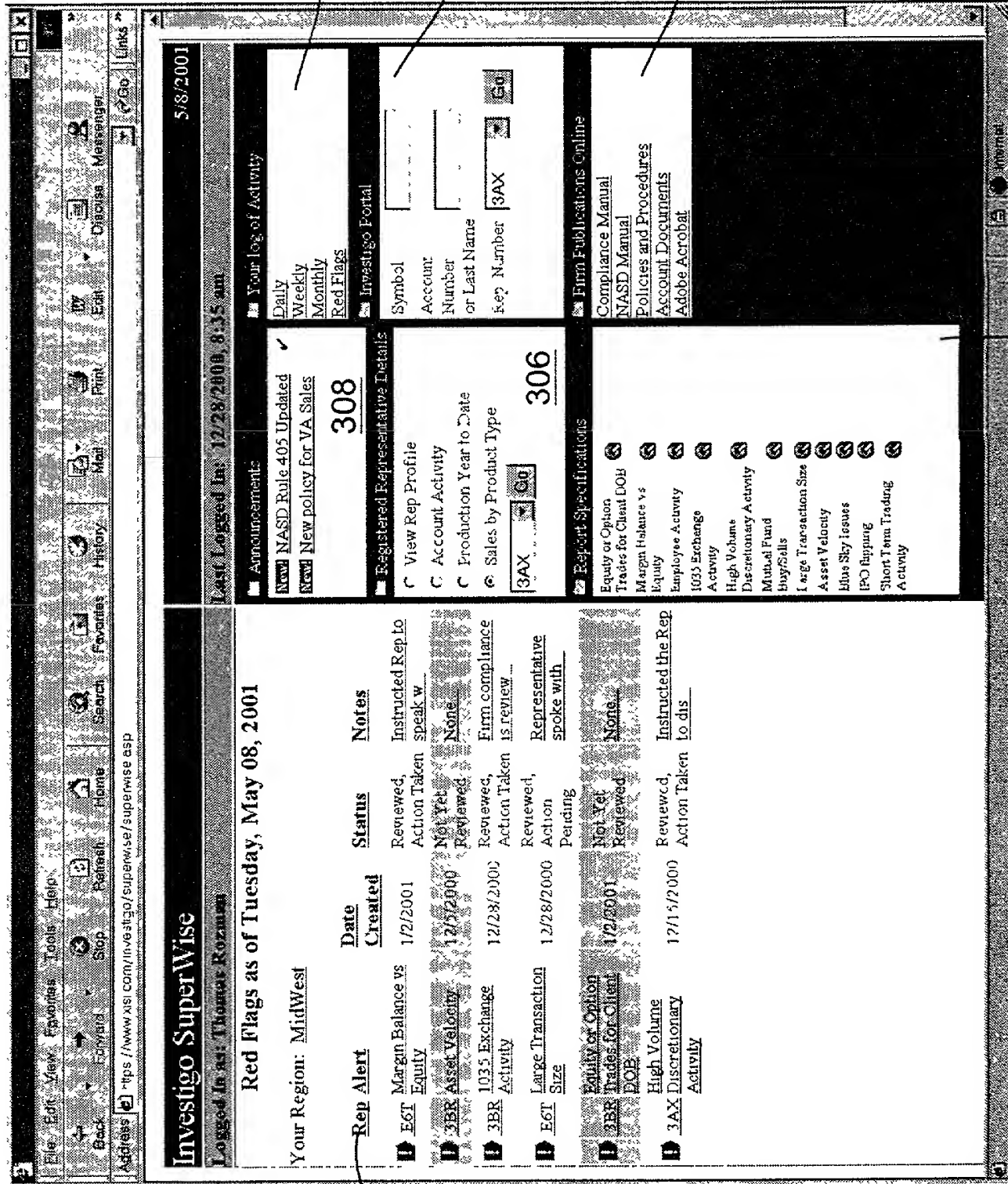
310

312

314

FIG. 10

302



SmartKnob settings for Equity or Option Trades for Client

Investigo Corp. **5/8/2001**

SmartKnob settings

Equity or Option Trades for Client DOB

Use this report to determine trade activity for customers with a date of birth year and older.

Description	Setting	Guide	Update
Date of Birth	01/01/25	Enter as a Date (MM/DD/YYYY)	Update
Number of Transactions	5	Enter as a regular number with decimal points	Update
Solicited Business?	<input checked="" type="checkbox"/>	Yes / No	Update

Close Window

FIG. 11

SmartKnob settings for Margin Balance vs Equity

5/8/2001

Investigo Corp.

SmartKnob settings

Margin Balance vs Equity

Use this report to monitor Margin balances versus equity with or without Discretionary Agreements

Description	Setting	Guide	Update
Percentage (vs. Total)	25	Enter as a number between 0 and 100 as a percent	Update
Discretionary Agreement?	<input checked="" type="checkbox"/>	Yes / No	Update

Close Window

FIG. 12

SmartKnob settings for Employee Activity - Microsoft In

5/8/2001

SmartKnob settings

Employee Activity

Use this report to monitor trading activity for Firm employees.

Description	Setting	Guide	Update
Symbol	GM	Enter as Text	Update
Start Date	1/1/01	Enter as a Date (MM/DD/YYYY)	Update
End Date	12/1/01	Enter as a Date (MM/DD/YYYY)	Update

Close Window

FIG. 13

SmartKnob settings for 1035 Exchange Activity - Mirco		5/8/2001	
Investigo Corp.			
SmartKnob settings			
1035 Exchange Activity			
Use this report to monitor any Annuity 1035 Exchange activity over a date range.			
<u>Description</u>	<u>Setting</u>	<u>Guide</u>	<u>Update</u>
Number of Transactions	10	Enter as a regular number with decimal points	Update
Start Date	1/1/01	Enter as a Date (MM/DD/YYYY)	Update
End Date	12/1/01	Enter as a Date (MM/DD/YYYY)	Update
			Close Window

FIG. 14

SmartKnob settings for High Volume Discretionary Accounts

SmartKnob settings

High Volume Discretionary Activity

Use this report to monitor trade activity for Discretionary Accounts over a date range.

Description	Setting	Guide	Update
Number of Transactions	10	Enter as a regular number with decimal points	Update
Start Date	1/1/01	Enter as a Date (MM/DD/YYYY)	Update
End Date	12/1/01	Enter as a Date (MM/DD/YYYY)	Update
Solicited Business?	<input type="checkbox"/>	Yes / No	Update

Close Window

FIG. 15

402

400

Report Status

High Volume Discretionary Activity

Representative Focus: 3AX

Reviewed, Action Taken

Add a new Note Entry

Date Note Added	Status	Then	Notes
4/4/2001 2:52:30 PM	Reviewed	Action Taken	Instructed the Rep to discontinue the discretionary

FIG. 16

Review Notes and Status Equity or Option Trades Page	
Investigo Corp.	5/21/2001
Report Status	
Equity or Option Trades for Client DOB	
Representative Focus: 3BR	
Not Yet Reviewed	<input type="checkbox"/>
Not Yet Reviewed	<input type="checkbox"/>
Not Yet Reviewed	<input type="checkbox"/>
Reviewed, No Action taken	<input type="checkbox"/>
Reviewed, Action Pending	<input type="checkbox"/>
Reviewed, Action Taken	<input type="checkbox"/>
Forwarded on for Review	<input type="checkbox"/>
Add a new Note Entry	

FIG. 17

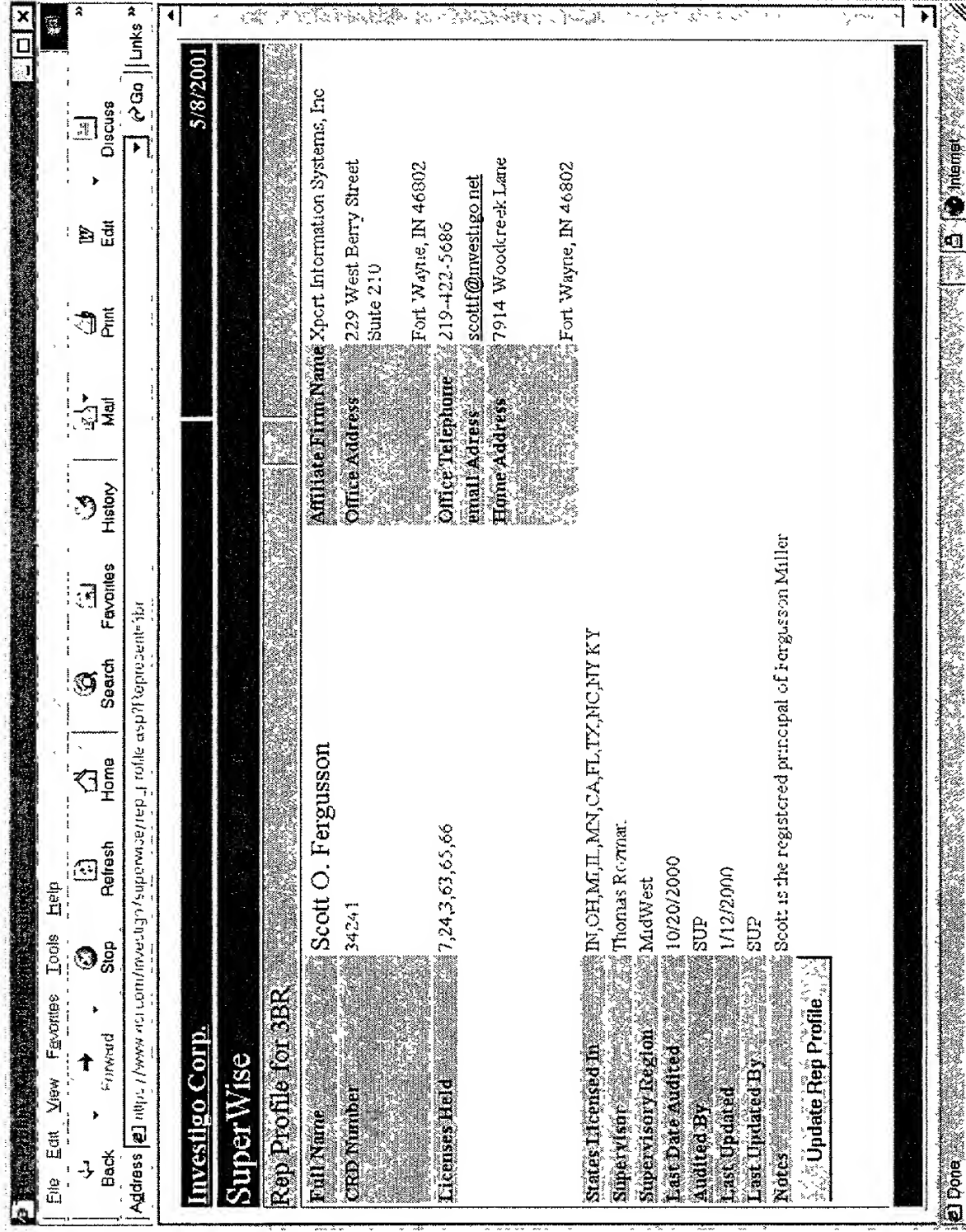


FIG. 18

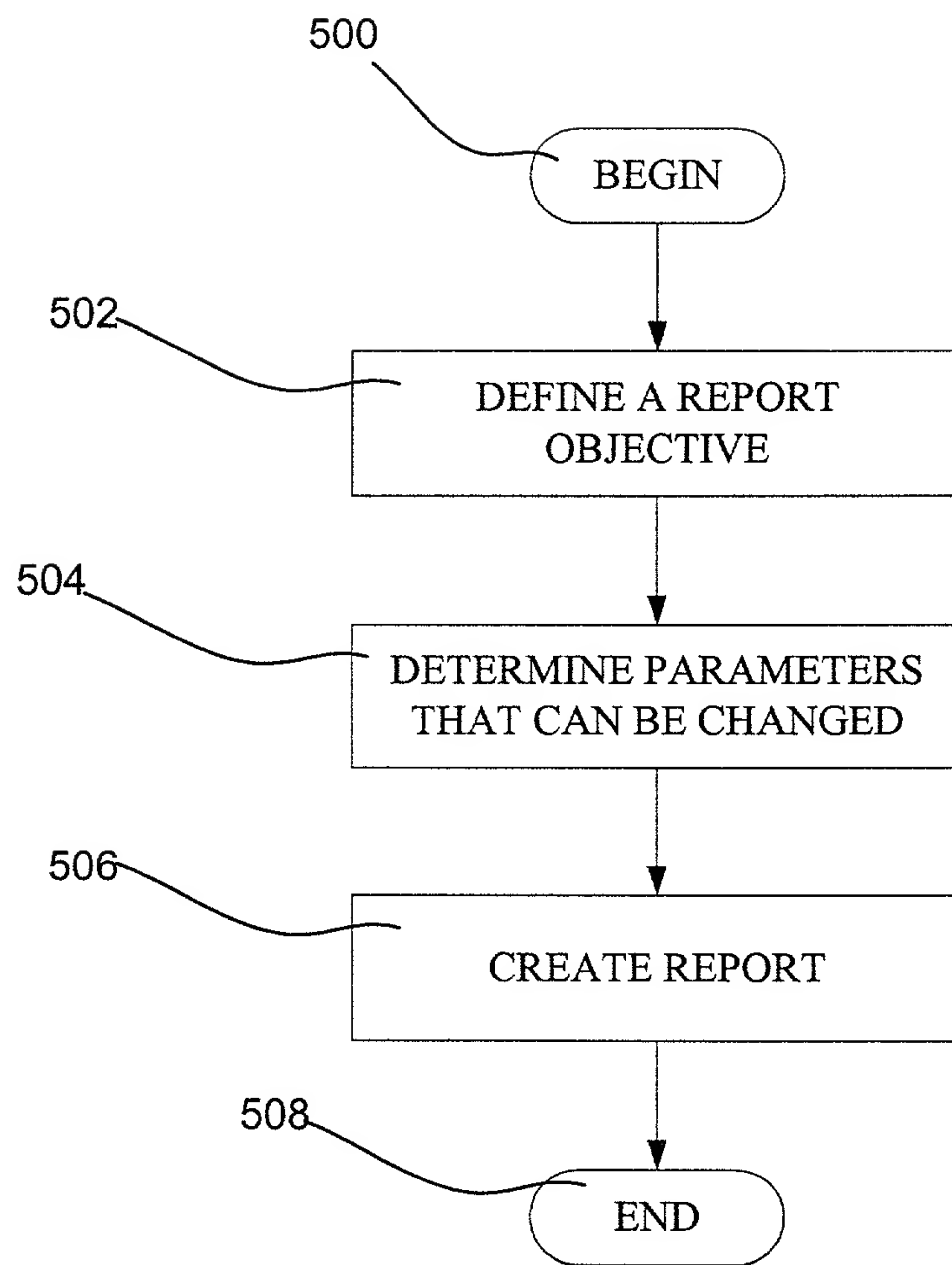


FIG. 19

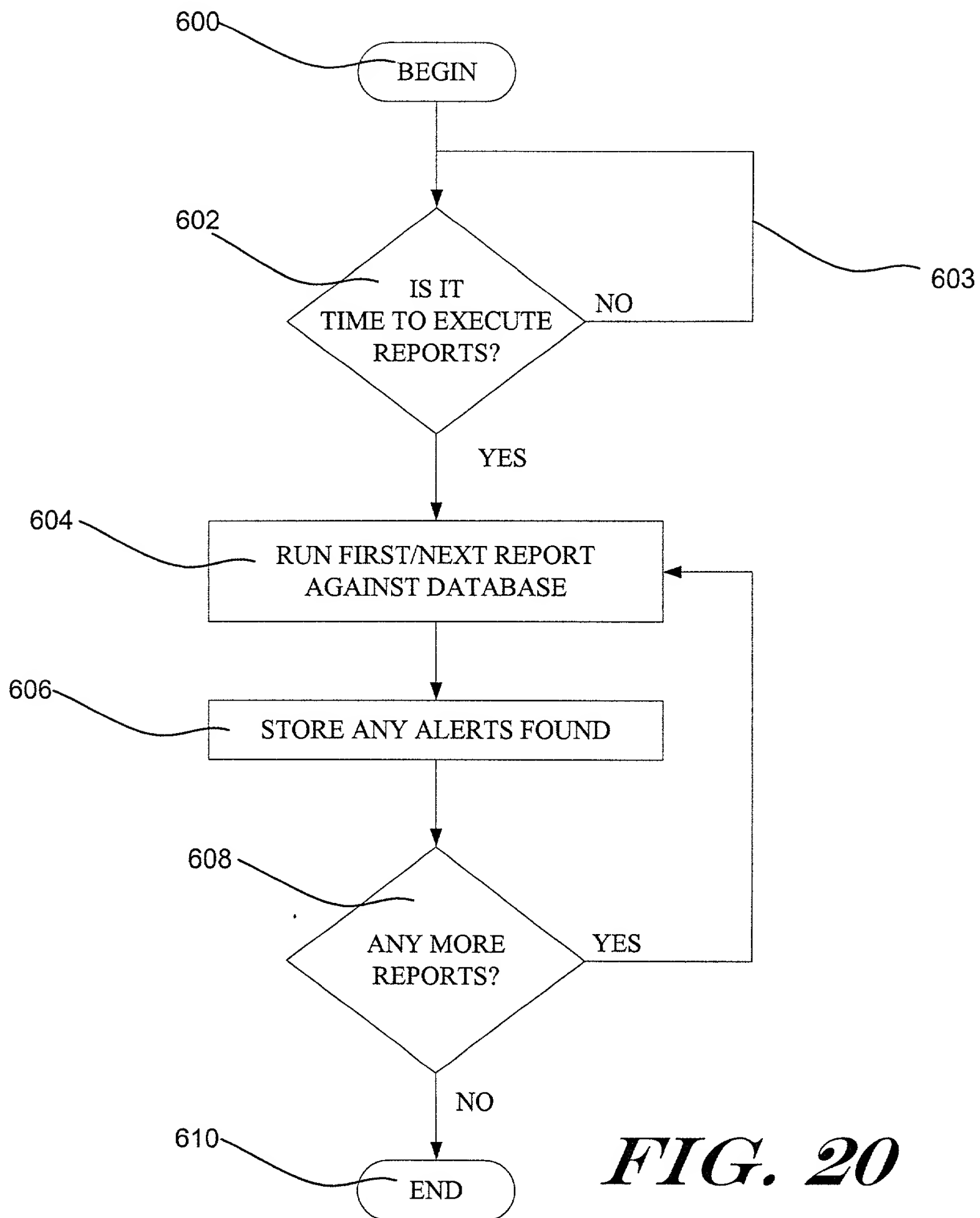


FIG. 20

09/20/2017 09:44:50

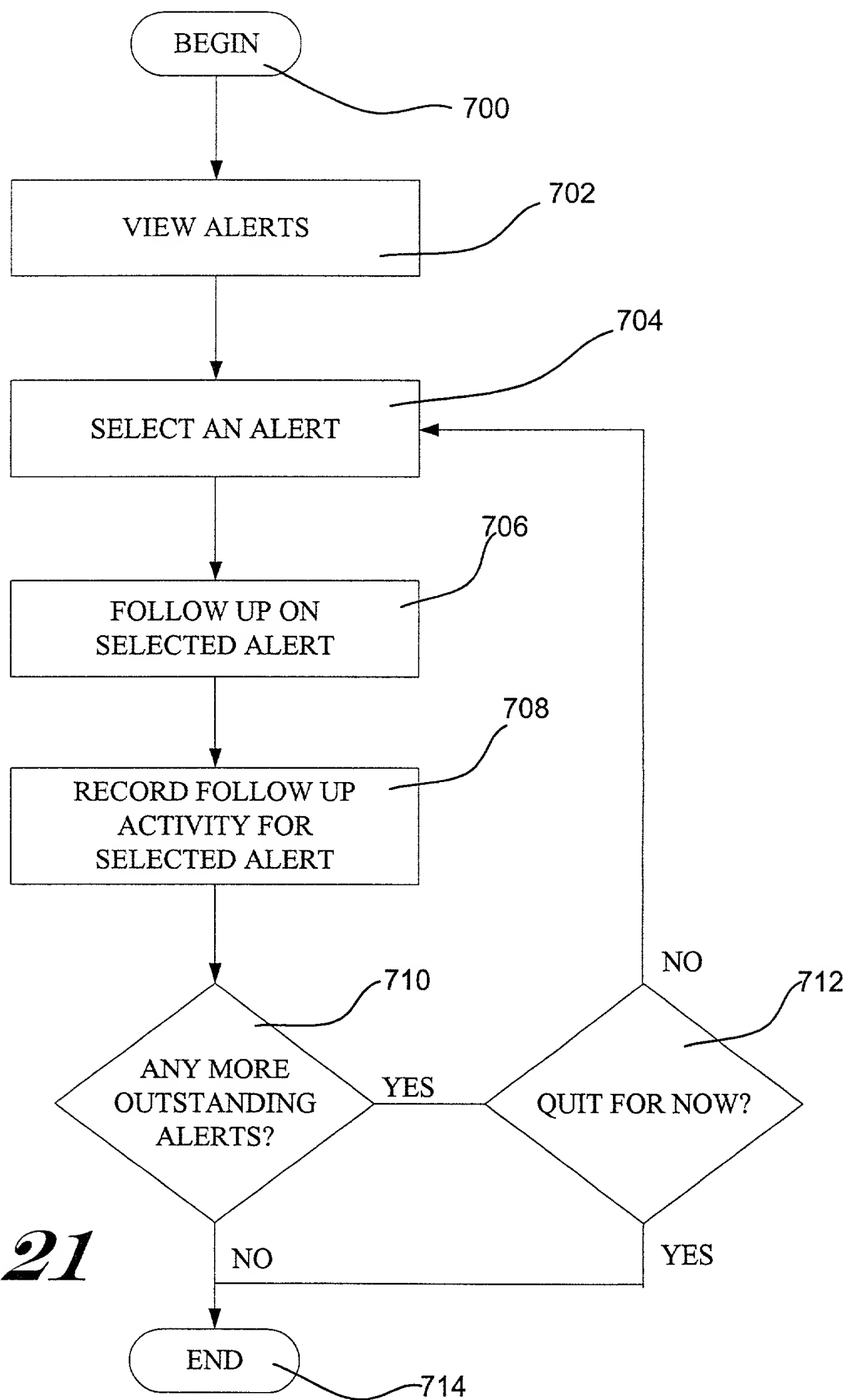


FIG. 21

FIG. 22

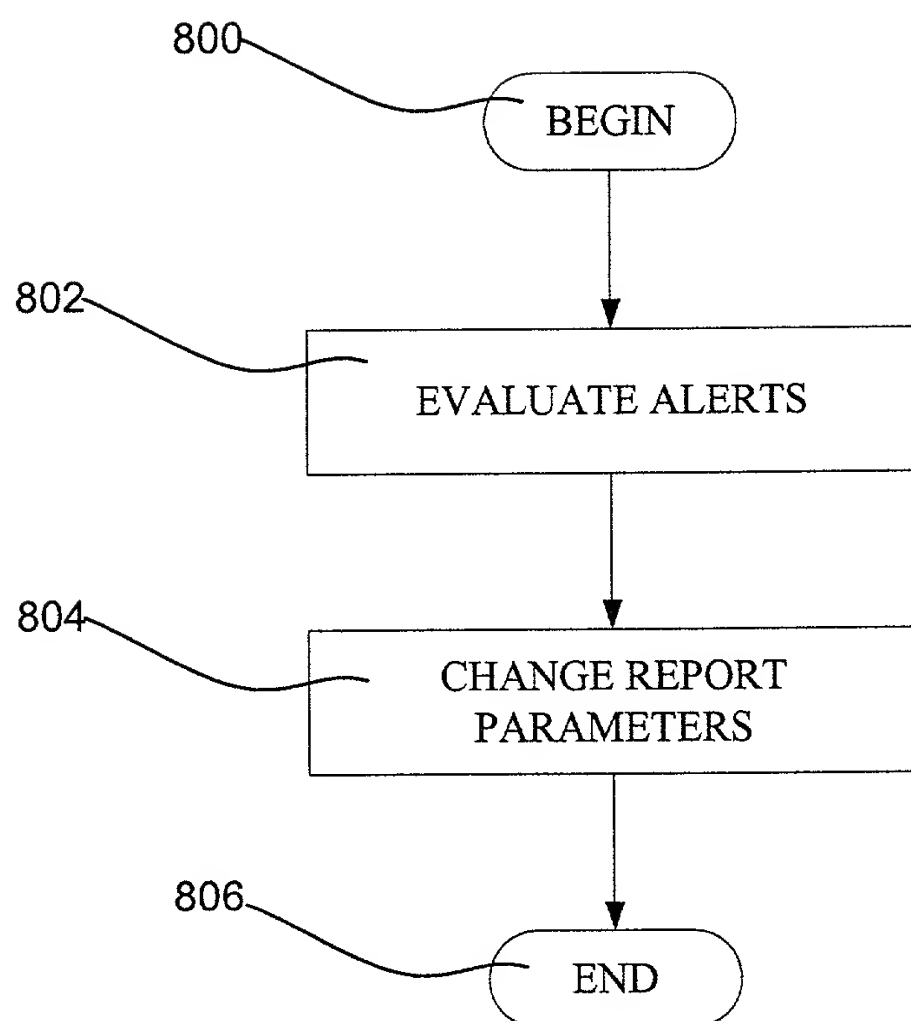


FIG. 22